



6P/2182

PTO/SB/21 (08-00)

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**TRANSMITTAL FORM**

(to be used for all correspondence after initial filing)

Application No.	10/085,839
Filing Date	February 25, 2002
First Named Inventor	Michael A. Kozuch
Group Art Unit	2182
Examiner Name	unassigned
Total Number of Pages in This Submission	36
Attorney Docket Number	42390P10794

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**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">SB08, Copy of Search Report, 25 Cited References</div>
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
	Remarks	

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	November 22, 2002

**CERTIFICATE OF MAILING/TRANSMISSION**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 22, 2002

Typed or printed name	Corrinn R. Reynolds		
Signature		Date	November 22, 2002

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# FEET TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** **( \$ )**

Complete if Known

Application Number	10/085,839
Filing Date	February 25, 2002
First Named Inventor	Michael A. Kozuch
Examiner Name	unassigned
Group/Art Unit	2182
Attorney Docket No.	42390P10794

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**METHOD OF PAYMENT** (check one)
 Check  Credit card  Money Order  Other  None  
 Deposit Account
Deposit Account Number **02-2666**Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) required under 37 CFR §§ 1.18, 1.17, 1.18 and 1.20.  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	740	2001	370	Utility filing fee
1002	330	2002	165	Design filing fee
1003	510	2003	255	Plant filing fee
1004	740	2004	370	Reissue filing fee
1005	160	2005	80	Provisional filing fee
SUBTOTAL (1)		(\$)		

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	38*	= <b>  </b> X <b>  </b> = <b>  </b>	
Multiple Dependent	4	= <b>  </b> X <b>  </b> = <b>  </b>	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple Dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	8	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)		

\*or number previously paid, if greater. For Reissues, see below

**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
1051	130	2051 65 Surcharge - late filing fee or oath	
1052	50	2052 25 Surcharge - late provisional filing fee or cover sheet	
2053	130	2053 130 Non-English specification	
1812	2,520	1812 2,520 For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804 920 * Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805 1,840 * Requesting publication of SIR after Examiner action	
1251	110	2251 55 Extension for reply within first month	
1252	400	2252 200 Extension for reply within second month	
1253	920	2253 460 Extension for reply within third month	
1254	1,440	2254 720 Extension for reply within fourth month	
1255	1,960	2255 980 Extension for reply within fifth month	
1404	320	2401 160 Notice of Appeal	
1402	320	2402 160 Filing a brief in support of an appeal	
1403	280	2403 140 Request for oral hearing	
1451	1,510	2451 1,510 Petition to institute a public use proceeding	
1452	110	2452 55 Petition to revive - unavoidable	
1453	1,280	2453 640 Petition to revive - unintentional	
1501	1,280	2501 640 Utility issue fee (or reissue)	
1502	460	2502 230 Design issue fee	
1503	620	2503 310 Plant issue fee	
1460	130	2460 130 Petitions to the Commissioner	
1807	50	1807 50 Processing fee under 37 CFR 1.17(q)	
1806	180	1806 180 Submission of Information Disclosure Stmt	
8021	40	8021 40 Recording each patent assignment per property (times number of properties)	
1809	740	1809 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	740	2810 370 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	740	2801 370 Request for Continued Examination (RCE)	
1802	900	1802 900 Request for expedited examination of a design application	
Other fee (specify)			

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(503) 684-6200
Signature				Date	11/22/02

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Docket No.: 42390P10794

#9

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

MICHAEL A. KOZUCH, ET AL.

Application No.: 10/085,839

Filed: February 25, 2002

For: **METHOD AND APPARATUS FOR  
LOADING A TRUSTABLE OPERATING  
SYSTEM**

Art Group: 2182

Examiner: unassigned

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Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

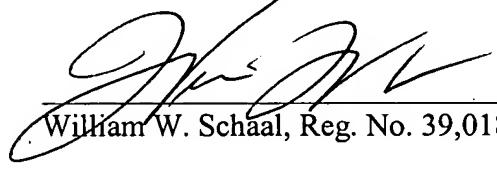
The references were cited in a Search Report dated August 6, 2002 (copy enclosed herewith) from a foreign patent office in a counterpart EPO application, which was forwarded to Applicant's Representative in a communication dated August 6, 2002.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



William W. Schaal, Reg. No. 39,018

Date: November 22, 2002

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(503) 684-6200

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November 22, 2002



Corinn R. Reynolds

11-22-02

Date

Substitute for Form 1449A/PTO (Modified)		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(See as many sheets as necessary)</i>		Application Number	10/085,839
		Filing Date	February 25, 2002
		First Named Inventor:	Michael A. Kozuch
		Group Art Unit	2182
		Examiner Name	Unassigned
		Attorney Docket Number	042390P10794
Sheet	1 of 2	RECEIVED NOV 29 2002	

## U.S. PATENT DOCUMENTS

## Technology Center 2100

## FOREIGN PATENT DOCUMENTS

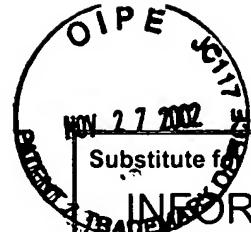
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (If known)				
		EP0600112 ✓		Seimens Nixdorf Information Systeme	08/06/1994		
		WO9844402 ✓		PCT	10/08/1998		
		WO9905600 ✓		PCT	02/04/1999		
		WO9909482 ✓		Seimens Nixdorf Information Systeme	02/25/1999		
		WO9957863 ✓		PCT	11/11/1999		
		WO0062232 ✓		PCT	10/19/2000		
		EP1146715 ✓		EP	10/17/2001		
		EP0930567A ✓		Texas Instruments	07/21/1999		
		WO9834365A ✓		AT&T Corporation	08/06/1998		
		EP 1 030 237 A		Hewlett Packard	08/23/2000		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(use as many sheets as necessary)

Sheet 2

of 2

Complete if Known	
Application Number	10/085,839
Filing Date	February 25, 2002
First Named Inventor:	Michael A. Kozuch
Group Art Unit	2182
Examiner Name	Unassigned
	NOV 29 2002
	Technology Center 2100
Attorney Docket Number	042390P10794

**OTHER ART – NO PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		HEINRICH, J., "MIPS R4000 Microprocessor User's Manual, "April 1, 1993, MIPS, MT. VIEW, XP002184449, pp. 61-97.	
		Heinrich, J., "MIPS R4000 Microprocessor User's Manual," 1994, MIPS Technology, Inc., Mountain View, CA, pp. 67-79.	
		"M68040 USER'S MANUAL," 1993, MOTOROLA, INC., pp. 1-20	
		"INTEL 386 DX MICROPROCESSOR 32-BIT CHMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT," 12/31/95, INTEL, INC., pp. 32-56; figures 4-14	
		BERG, C., "HOW DO I CREATE A SIGNED APPLET?," DR. DOBB'S JOURNAL, M&T Publ., Redwood City, CA, US, Vol. 22, No. 8, 8/97, pp. 109-111, 122	
		GONG, L., et al., "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2," Proceedings of the Usenix Symposium on the Internet Technologies and Systems, Monterrey, CA 12/97, pp. 103-112.	
		GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.	
		GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983	
		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.	
		LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," <a href="http://www.plex86.org/research/paper.txt">http://www.plex86.org/research/paper.txt</a> ; 11/29/99; pp. 1-31.	
		"Trust Computing Platform Alliance (TCPA)," Main Specification Version 1.1a, Compaq Computer Corporation, Hewlett-Packard Company, IBM Corporation, Intel Corporation, Microsoft Corporation, December 2001.	

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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